

FINANCIAL DISCLOSURE STATEMENTS

21.01 PURPOSE

The purpose of this regulation is to establish procedures for filing the following Financial Disclosure Statements: Statement of Financial Interests, Form SEC-1, pursuant to Act 170-1978, State Ethics Act; and Code of Conduct Statement of Financial Interest, Form STD-323, pursuant to the Governor's Code of Conduct.

21.02 PUBLIC OFFICIALS/PUBLIC EMPLOYEES

The following personnel have been determined to be public officials or employees and, therefore, shall file Financial Disclosure Statements:

- A. Commissioner.
- B. Deputy Commissioners.
- C. All Commissioned Officers.
- D. Chief Counsel and Assistant Counsels.
- E. **Press Secretary.**
- F. Division Directors and above.
- G. Station Commanders.
- H. Purchasing Agents.
- I. Radio Telecommunications Specialists.
- J. Enforcement Officers.
- K. **Vehicle Fraud Investigators.**
- L. **Personnel assigned to the Gaming Enforcement Office.**
- M. Any other classification designated by the **Commissioner and/or** Governor's Office.

21.03 FORMER PERSONNEL

All personnel who meet the criteria for classification as a public official/employee are required to file Financial Disclosure Statements every May 1 for the preceding calendar year. Those personnel terminating employment are required to file Financial Disclosure Statements, under the State Ethics Act only, for the calendar year following termination. The Director, Bureau of Human Resources shall ensure that Financial Disclosure Statements are forwarded to affected personnel.

21.04 FUTURE DISCLOSURE REQUIREMENTS

Personnel appointed, promoted, transferred, and/or who have assumed appropriate duties in a designated position which falls under the definition of public official/employee shall complete Financial Disclosure Statements and forward them within 15 days of the personnel action to the Director, Bureau of Human Resources.

21.05 APPEAL PROCESS

In the event that Department personnel desire to contest coverage by the State Ethics Act, a Financial Disclosure Appeal, Form STD-314, shall be submitted. The appeal form is to be submitted to the Director, Bureau of Human Resources for review and determination by Department representatives and the Office of Administration. Personnel will receive a formal notice of this determination through the Bureau of Human Resources.

21.06 MAINTENANCE AND RELEASE

A. Public Officials:

1. Financial Disclosure Statements filed by public officials under the State Ethics Act are maintained by the State Ethics Commission.
2. Financial Disclosure Statements filed by public officials under the Governor's Code of Conduct are maintained by the Office of Administration.

- B. Public Employee: Financial Disclosure Statements filed under the State Ethics Act and the Governor's Code of Conduct are maintained in the Bureau of Human Resources.
- C. Release of Information: Release of information is provided to the following:
 - 1. Governor.
 - 2. Lieutenant Governor.
 - 3. Commissioner.
 - 4. Secretary of Administration.
 - 5. Chief Counsel.
 - 6. Accredited reporters employed by general news organizations as approved by the Governor's Director of Communications.
 - 7. Public Inspection—State Ethics only.

21.07 RESPONSIBILITIES

Troop Commanders and Bureau/Office Directors shall ensure that all affected personnel under their command comply with the provisions of this regulation.

21.08 SUBMISSION

Financial Disclosure Statements for the State Ethics Act and the Governor's Code of Conduct shall be submitted to the Director, Bureau of Human Resources, to arrive no later than May 1 of each year.